



State of Tennessee Department of Children's Services

## **Administrative Policies and Procedures: 4.17**

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### **Subject: Personnel Files**

Supersedes: DCS 4.17, 01/01/98

**Local Policy: No**

**Local Procedures: No**

**Training Required: No**

**Approved by:**

**Effective date: 01/01/98**

**Revision date: 11/01/99**

### **Application**

To Department of Children's Services Staff Responsible For Official State Personnel Files.

**Authority:** TCA 37-5-106

### **Policy**

Accurate and complete employee personnel files shall be maintained in an approved manner at youth development centers for their assigned personnel or in the central office for all other departmental personnel.

### **Procedures**

#### **A. Personnel files**

1. The youth development center personnel officer/ DCS director of personnel is the custodian of official state personnel files.
2. Personnel files will be maintained in a locked secure area and must be signed out for any review by DCS personnel staff.
3. The following must be maintained in the official state personnel file:
  - a) All 201's (Department of Personnel Request for Action form) and DIR's (Daily Input Roster)
  - b) All applications resulting in appointment/promotion

- c) Proof of education
- d) Board of Claims information (excluding medical information)
- e) Job Performance Plans and Performance Evaluations
- f) Leave records (old kardex cards, final leave balance, special leave statements, leave-without pay documents, C-7's (Attendance and Leave Adjustment form)
- g) Disciplinary actions and back-up
- h) Employment Verification Form (I-9) and supporting documentation
- i) W-4 form (Employee's Withholding Allowance Certificate)
- j) Retirement form
- k) Drug Free Work Place form
- l) Oath of Office
- m) Statement of Notification, if any
- n) Documentation of payroll deductions, including garnishments
- o) Direct Deposit form or exception
- p) Code of Ethics

**B. Background checks and insurance beneficiary information**

Background checks, beneficiary information, medical information, and internal affairs reports will remain in separate confidential files. Confidential files may only be accessed after a written request evidencing a bonafide need to know is submitted to, and approved by, the custodian of the file. A copy of the request will remain in the file.

**C. Prohibited information in personnel file**

1. Any miscellaneous negative information not cited above is not allowed in an employee's official state personnel file. Prohibited information includes, but is not limited to:
  - a) Interim Reviews
  - b) EEOC charges and responses
  - c) Supervisory notes
  - d) Public complaints
  - e) Overturned disciplinary actions
2. Under no circumstances should the confidential nature of a child's identity be breached by including child names in documents that must be placed in the official state

personnel file.

**D. Employee rights  
to review/  
challenge  
personnel file**

Employees shall be allowed to review their personnel files to ensure that they are current and accurate as follows:

1. Notify the appropriate YDC personnel office or central office personnel requesting to review file.
2. A personnel technician will be available to go through the personnel file with the employee.
3. If any information contained in the file is proved to be inaccurate, it will be removed and/or corrected promptly.

**E. Personnel  
records access**

1. Portions of personnel files shall be treated as confidential and are no longer open for public inspection. Personnel division employees, law enforcement agencies, courts, and other governmental agencies may review the file without restrictions when performing their official duties.
2. Non-public information includes:
  - a) Unpublished telephone numbers
  - b) Bank account information
  - c) Social security numbers
  - d) Drivers license information except where driving or operating a vehicle is part of the employee's job description or job duties or incidental to the performance of their job
  - e) Names of employee's immediate family members or household members

**Forms**

None

**Collateral Documents**

*None*

**ACA Standards**

3-JTS-1C-21

3-JCRF-1C-14